

APPENDIX A

JANUARY 24, 2001

NOVARTIS CORPORATION
THOMAS HOXIE
564 MORRIS AVENUE
PATENT AND TRADEMARK DEPT.
SUMMIT, NJ 07901-1027

PTAS

Washington, D.C. 20231



101525669A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/30/2000

REEL/FRAME: 011257/0543
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HAEBERLIN, BARBARA

DOC DATE: 05/13/1998

ASSIGNOR:

MAK, CHING-PONG

DOC DATE: 05/18/1998

ASSIGNOR:

MEINZER, ARMIN

DOC DATE: 05/14/1998

ASSIGNOR:

VONDERSCHER, JACKY

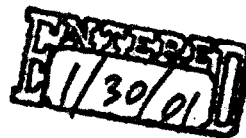
DOC DATE: 05/20/1998

ASSIGNEE:

NOVARTIS AG
SCHWARZWALDALLE 215
BASEL, SWITZERLAND 4058

SERIAL NUMBER: 09469536
PATENT NUMBER: 6172107

FILING DATE: 12/22/1999
ISSUE DATE: 01/09/2001



To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

1) Barbara HAEBERLIN; 2) Ching-Pong MAK;
3) Armin MEINZER; 4) Jacky VONDERSCHER.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 1) May 13, 1998; 2) May 18, 1998;

3) May 14, 1998; 4) May 20, 1998.

2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: _____

Street Address: Schwarzwaldallee 215

City: Basel State: Switzerland ZIP: 4058

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/469,536

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas Hoxie

Internal Address: Novartis Corporation

Patent and Trademark Dept.

Street Address: 564 Morris Avenue

City: Summit State: NJ ZIP: 07901-1027

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40

☐ Enclosed

☒ Authorized to be charged to deposit account and any other additional fees required.

8. Deposit account number:

19-0134 (in the name of Novartis Corporation)

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael U. Lee

Name of Person Signing
Reg. No. 35,240


Signature

10/23/00
Date

☒ Certificate of mailing on reverse side

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

- I / We
1. Barbara HAEBERLIN, Haselrain 77, 4125 Riehen, Switzerland, citizen of Switzerland
 2. Ching-Pong MAK, Ob dem Fichtenrain 20, 4106 Therwil, Switzerland, citizen of Great Britain
 3. Armin MEINZER, Fliederweg 2, 79426 Buggingen, Germany, citizen of Germany
 4. Jacky VONDERSCHER, 29, rue de Bruebach, 68400 Riedisheim, France, citizen of France

for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to **Novartis AG, a Company organized under the laws of the Swiss Confederation, of Schwarzwaldallee 215, 4058 Basel, Switzerland**, its successors, assigns and legal representatives all my/our right, title and interest, in and for the United States of America, in and to the invention entitled:

ENTERIC-COATED PHARMACEUTICAL COMPOSITIONS

invented by me/us and described in the international application

No. **PCT/EP 97/01800** filed **10.04.1997**

and all United States Letters Patent which may be granted therefor, and all divisions, reissues, continuations and extensions thereof, the said interest being the entire ownership of the said Letters Patent when granted, to be held and enjoyed by the said **Novartis AG**, its successors, assigns or other legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this assignment and sale had not been made;

And I/we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to the said **Novartis AG**.

Signed on

Barbara Haeberlin
Barbara HAEBERLIN

May 13, 98

Ching-Pong Mak
Ching-Pong MAK

~~May 14, 98~~ May 18 98

Armin Meinzer
Armin MEINZER

May 14. 98

Jacky Vonderscher
Jacky VONDERSCHER

May 20, 97

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 10/23/00

(Date of Deposit)

Michael Lee
Name of Person Signing

[Signature]
Signature

10/23/00

Date of Signature